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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/581,503	06/28/2007	Helen Blau	STAN-327	7009
77974                      7590                      10/21/2008 Bozicevic, Field & Francis LLP Stanford University Office of Technology Licensing 1900 University Avenue Suite 200 East Palo Alto, CA 94303				
EXAMINER				
WOLLENBERGER, LOUIS V				
ART UNIT		PAPER NUMBER		
1635				
MAIL DATE		DELIVERY MODE		
10/21/2008		PAPER		

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

# Office Action Summary

**Application No.**

10/581,503

**Applicant(s)**

BLAU ET AL.

**Examiner**

Louis Wollenberger

**Art Unit**

1635

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 1 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 28 June 2007.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-26 and 34 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☐ Claim(s) \_\_\_\_\_ is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☒ Claim(s) 1-26 and 34 are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO/CDC)
- 4) ☐ Interview Summary (PTO-413)
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_
- Paper No(s)/Mail Date \_\_\_\_\_

**DETAILED ACTION**

***Preliminary amendment***

Applicant's preliminary amendment to the claims filed 6/28/07 is acknowledged. With entry of the amendment claims 1-26 and 34 are pending and subject to restriction as follows.

***Election/Restrictions***

Restriction is required under 35 U.S.C. 121 and 372.

This application contains the following inventions or groups of inventions which are not so linked as to form a single general inventive concept under PCT Rule 13.1.

In accordance with 37 CFR 1.499, applicant is required, in reply to this action, to elect a single invention to which the claims must be restricted.

Group I, claim(s) 1-16 and 34, drawn to a method of producing short hairpin RNA, comprising ligating a linker nucleic acid to a dsDNA to produce an intermediate nucleic acid, and converting said intermediate nucleic acid to a linear dsDNA, and to a system comprising reagents used in said method. Election of this group requires the further election of a single method for converting from claim 9 or 10, and single method of amplification from claim 11 or 12, as explained below.

Group II, claim(s) 17-22, drawn to a single stranded nucleic acid comprising complementary domains separated by a linker, wherein said complementary domains hybridize to one another to form a double stranded stem having a restriction endonuclease site.

Group III, claim(s) 23-26, drawn to a linear dsDNA comprising at least one pro-shRNA expression module made up of a linker domain flanked by siRNA encoding domains, wherein said linker domain comprises two restriction endonuclease sites.

The inventions listed as Groups I and II do not relate to a single general inventive concept under PCT Rule 13.1 because, under PCT Rule 13.2, they lack the same or corresponding special technical features for the following reasons: The special technical feature of Group I is the sequence and nature of the steps used to generate the shRNA, comprising ligating a linker to an initial dsDNA followed by converting the product formed thereby to a linear dsDNA that includes a shRNA expression module. The special technical feature of Group II is a hairpin nucleic acid comprising a restriction endonuclease site in the stem, which is not specifically present in or required by Group I or III. Similarly, the special technical feature of Group III is a linear dsDNA comprising at least one pro-shRNA expression module made up of a linker domain flanked by siRNA encoding domains, wherein said linker domain comprises two restriction endonuclease sites, which is not specifically required by or present in Group I or II. Accordingly, *a priori*, Groups I, II, and III do not share the same or corresponding technical feature. Furthermore, a hairpin nucleic acid comprising a restriction endonuclease site in the stem cannot be a special technical feature because the element is shown in the prior art. Nicholson (1999) *FEMS Microbiology Reviews* 23:371-390 teach a stem-loop hairpin RNA having RNase III endonuclease cleavage sites in the stem domain (Fig. 2A, pages 378-9). Accordingly, Groups I and II lack unity of invention *a priori* and *a posteriori* (MPEP 1850.II).

***Further elections (Group I)***

Group I comprises claims to a plurality of methods that are not so linked as to form a single general inventive concept under PCT Rule 13.1. Should Applicant elect Group I, Applicant must further elect the method according to claim 9 or 10. The methods do not share the same special technical feature, which is considered to correspond to the particular nature and sequence of steps used to generate the hairpin nucleic acid expression module. Accordingly, the methods of claims 9 and 10 differ with regard to the amplification step, and lack unity of invention *a priori*. Should applicant elect the method of claim 10, applicant is further required to elect a single method thereof from claim 11 or 12, for the same reasons.

***Conclusion***

Applicant is advised that the reply to this requirement to be complete must include (i) an election of a species or invention to be examined even though the requirement may be traversed (37 CFR 1.143) and (ii) identification of the claims encompassing the elected invention.

The election of an invention or species may be made with or without traverse. To preserve a right to petition, the election must be made with traverse. If the reply does not distinctly and specifically point out supposed errors in the restriction requirement, the election shall be treated as an election without traverse.

Applicant is reminded that upon the cancellation of claims to a non-elected invention, the inventorship must be amended in compliance with 37 CFR 1.48(b) if one or more of the currently named inventors is no longer an inventor of at least one claim remaining in the application. Any amendment of inventorship must be accompanied by a request under 37 CFR 1.48(b) and by the fee required under 37 CFR 1.17(i).

The examiner has required restriction between product and process claims. Where applicant elects claims directed to the product, and the product claims are subsequently found allowable, withdrawn process claims that depend from or otherwise require all the limitations of the allowable product claim will be considered for rejoinder. All claims directed to a nonelected process invention must require all the limitations of an allowable product claim for that process invention to be rejoined.

In the event of rejoinder, the requirement for restriction between the product claims and the rejoined process claims will be withdrawn, and the rejoined process claims will be fully examined for patentability in accordance with 37 CFR 1.104. Thus, to be allowable, the rejoined claims must meet all criteria for patentability including the requirements of 35 U.S.C. 101, 102, 103 and 112. Until all claims to the elected product are found allowable, an otherwise proper restriction requirement between product claims and process claims may be maintained. Withdrawn process claims that are not commensurate in scope with an allowable product claim will not be rejoined. See MPEP § 821.04(b). Additionally, in order to retain the right to rejoinder in accordance with the above policy, applicant is advised that the process claims should be amended during prosecution to require the limitations of the product claims. **Failure to do so may result in a loss of the right to rejoinder.** Further, note that the prohibition against double patenting rejections of 35 U.S.C. 121 does not apply where the restriction requirement is withdrawn by the examiner before the patent issues. See MPEP § 804.01.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Louis Wollenberger whose telephone number is (571)272-8144. The examiner can normally be reached on M-F, 8 am to 4:30 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James (Doug) Schultz can be reached on (571)272-0763. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Louis Wollenberger/  
Examiner, Art Unit 1635  
October 4, 2008